

12-03-01

A

Please type a plus sign (+) inside this box → ☐

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

SHC0160

First Inventor

NAOTO OHASHI ET AL.

Title

DISPOSABLE DIAPER

Express Mail Label No.

EL731285267US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

- 1.
- ☒
- Fee Transmittal Form (e.g., PTO/SB/17)
-
- (Submit an original, and a duplicate for fee processing)

- 2.
- ☐
- Applicant claims small entity status.
-
- See 37 CFR 1.27.

- 3.
- ☒
- Specification (Total Pages
-
-)
-
- (preferred arrangement set forth below)

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

- 4.
- ☒
- Drawing(s) (35 U.S.C. 113) (Total Sheets
-
-)

5. Oath or Declaration (Total Pages
-
-)

- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).

- 6.
- ☒
- Application Data Sheet. See 37 CFR 1.76

- 7.
- ☐
- CD-ROM or CD-R in duplicate, large table or
-
- Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission
-
- (if applicable, all necessary)

- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☒ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,
-
- or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____ / _____

Prior application information: Examiner _____

Group / Art Unit _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied
under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by
reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**19. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label

00832

or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name

BAKER & DANIELS

Address

111 E. Wayne Street, Suite 800

City

Fort Wayne

State

IN

Zip Code

46808

Country

USA

Telephone

219-424-8000

Fax

219-460-1700

Name (Print/Type)

Michael S. Gzybowski

Registration No. (Attorney/Agent)

32,816

Signature

Michael S. Gzybowski

Date

November 29, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any
comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office,
Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box
Patent Application, Washington, DC 20231.

11/29/01



PTO/SB/05 (11-00)

11/29/01

11/29/01

<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2002</h2> <p style="margin: 5px 0 0 40px;"><i>Patent fees are subject to annual revision.</i></p>		Complete if Known	
TOTAL AMOUNT OF PAYMENT		\$740.00	
Application Number		Filing Date	
First Named Inventor		Naoto Ohashi et al.	
Examiner Name		Group Art Unit	
Attorney Docket No.		SHC0160	

<p>METHOD OF PAYMENT</p> <p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number: 02-0385</p> <p>Deposit Account Name: BAKER & DANIELS</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR § 1.27</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:</p> <p><input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p> <p style="text-align: center;">FEE CALCULATION</p> <p>1. BASIC FILING FEE</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> <tr> <th>Code (\$)</th> <th>Code (\$)</th> <th></th> <th></th> </tr> </thead> <tbody> <tr> <td>101 740</td> <td>201 370</td> <td>Utility filing fee</td> <td>740.00</td> </tr> <tr> <td>106 330</td> <td>206 165</td> <td>Design filing fee</td> <td></td> </tr> <tr> <td>107 510</td> <td>207 255</td> <td>Plant filing fee</td> <td></td> </tr> <tr> <td>108 740</td> <td>208 370</td> <td>Reissue filing fee</td> <td></td> </tr> <tr> <td>114 160</td> <td>214 80</td> <td>Provisional filing fee</td> <td></td> </tr> <tr> <td colspan="3" style="text-align: right;">SUBTOTAL (1)</td> <td>\$740.00</td> </tr> </tbody> </table> <p>2. EXTRA CLAIM FEES</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>Total Claims 8 - 20** = 0</td> <td>X</td> <td>0.00</td> </tr> <tr> <td>Independent Claims 1 - 3** = 0</td> <td>X</td> <td>0.00</td> </tr> <tr> <td>Multiple Dependent</td> <td></td> <td></td> </tr> </tbody> </table> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> <tr> <th>Code (\$)</th> <th>Code (\$)</th> <th></th> <th></th> </tr> </thead> <tbody> <tr> <td>103 18</td> <td>203 9</td> <td>Claims in excess of 20</td> <td></td> </tr> <tr> <td>102 84</td> <td>202 42</td> <td>Independent claims in excess of 3</td> <td></td> </tr> <tr> <td>104 280</td> <td>204 140</td> <td>Multiple dependent claim, if not paid</td> <td></td> </tr> <tr> <td>109 84</td> <td>209 42</td> <td>** Reissue independent claims over original patent</td> <td></td> </tr> <tr> <td>110 18</td> <td>210 9</td> <td>** Reissue claims in excess of 20 and over original patent</td> <td></td> </tr> <tr> <td colspan="3" style="text-align: right;">SUBTOTAL (2)</td> <td>\$0.00</td> </tr> </tbody> </table>	Large Entity	Small Entity	Fee Description	Fee Paid	Code (\$)	Code (\$)			101 740	201 370	Utility filing fee	740.00	106 330	206 165	Design filing fee		107 510	207 255	Plant filing fee		108 740	208 370	Reissue filing fee		114 160	214 80	Provisional filing fee		SUBTOTAL (1)			\$740.00	Extra Claims	Fee from below	Fee Paid	Total Claims 8 - 20** = 0	X	0.00	Independent Claims 1 - 3** = 0	X	0.00	Multiple Dependent			Large Entity	Small Entity	Fee Description	Fee Paid	Code (\$)	Code (\$)			103 18	203 9	Claims in excess of 20		102 84	202 42	Independent claims in excess of 3		104 280	204 140	Multiple dependent claim, if not paid		109 84	209 42	** Reissue independent claims over original patent		110 18	210 9	** Reissue claims in excess of 20 and over original patent		SUBTOTAL (2)			\$0.00	<p>3. ADDITIONAL FEES</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> <tr> <th>Code (\$)</th> <th>Code (\$)</th> <th></th> <th></th> </tr> </thead> <tbody> <tr> <td>105 130</td> <td>205 65</td> <td>Surcharge - late filing fee or oath</td> <td></td> </tr> <tr> <td>127 50</td> <td>227 25</td> <td>Surcharge - late provisional filing fee or cover sheet</td> <td></td> </tr> <tr> <td>139 130</td> <td>139 130</td> <td>Non - English specification</td> <td></td> </tr> <tr> <td>147 2,520</td> <td>147 2,520</td> <td>For filing a request for <i>ex parte</i> reexamination</td> <td></td> </tr> <tr> <td>112 920*</td> <td>112 920*</td> <td>Requesting publication of SIR prior to Examiner action</td> <td></td> </tr> <tr> <td>113 1,840*</td> <td>113 1,840*</td> <td>Requesting publication of SIR after Examiner action</td> <td></td> </tr> <tr> <td>115 110</td> <td>215 55</td> <td>Extension for reply within first month</td> <td></td> </tr> <tr> <td>116 400</td> <td>216 200</td> <td>Extension for reply within second month</td> <td></td> </tr> <tr> <td>117 920</td> <td>217 460</td> <td>Extension for reply within third month</td> <td></td> </tr> <tr> <td>118 1,440</td> <td>218 720</td> <td>Extension for reply within fourth month</td> <td></td> </tr> <tr> <td>128 1,960</td> <td>228 980</td> <td>Extension for reply within fifth month</td> <td></td> </tr> <tr> <td>119 320</td> <td>219 160</td> <td>Notice of Appeal</td> <td></td> </tr> <tr> <td>120 320</td> <td>220 160</td> <td>Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>121 280</td> <td>221 140</td> <td>Request for oral hearing</td> <td></td> </tr> <tr> <td>138 1,510</td> <td>138 1,510</td> <td>Petition to institute a public use proceeding</td> <td></td> </tr> <tr> <td>140 110</td> <td>240 55</td> <td>Petition to revive - unavoidable</td> <td></td> </tr> <tr> <td>141 1,280</td> <td>241 640</td> <td>Petition to revive - unintentional</td> <td></td> </tr> <tr> <td>142 1,280</td> <td>242 640</td> <td>Utility issue fee (or reissue)</td> <td></td> </tr> <tr> <td>143 460</td> <td>243 230</td> <td>Design issue fee</td> <td></td> </tr> <tr> <td>144 620</td> <td>244 310</td> <td>Plant issue fee</td> <td></td> </tr> <tr> <td>122 130</td> <td>122 130</td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>123 50</td> <td>123 50</td> <td>Processing fee under 37 CFR § 1.17(q)</td> <td></td> </tr> <tr> <td>126 180</td> <td>126 180</td> <td>Submission of Information Disclosure Statement</td> <td></td> </tr> <tr> <td>581 40</td> <td>581 40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td></td> </tr> <tr> <td>146 740</td> <td>246 370</td> <td>Filing a submission after final rejection (37 CFR § 1.129(a))</td> <td></td> </tr> <tr> <td>149 740</td> <td>249 370</td> <td>For each additional invention to be examined (37 CFR § 1.129(b))</td> <td></td> </tr> <tr> <td>179 740</td> <td>279 370</td> <td>Request for Continued Examination (RCE)</td> <td></td> </tr> <tr> <td>169 900</td> <td>169 900</td> <td>Request for expedited examination of a design application</td> <td></td> </tr> <tr> <td colspan="3">Other fee (specify)</td> <td></td> </tr> <tr> <td colspan="3" style="text-align: right;">SUBTOTAL (3)</td> <td></td> </tr> </tbody> </table>	Large Entity	Small Entity	Fee Description	Fee Paid	Code (\$)	Code (\$)			105 130	205 65	Surcharge - late filing fee or oath		127 50	227 25	Surcharge - late provisional filing fee or cover sheet		139 130	139 130	Non - English specification		147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination		112 920*	112 920*	Requesting publication of SIR prior to Examiner action		113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action		115 110	215 55	Extension for reply within first month		116 400	216 200	Extension for reply within second month		117 920	217 460	Extension for reply within third month		118 1,440	218 720	Extension for reply within fourth month		128 1,960	228 980	Extension for reply within fifth month		119 320	219 160	Notice of Appeal		120 320	220 160	Filing a brief in support of an appeal		121 280	221 140	Request for oral hearing		138 1,510	138 1,510	Petition to institute a public use proceeding		140 110	240 55	Petition to revive - unavoidable		141 1,280	241 640	Petition to revive - unintentional		142 1,280	242 640	Utility issue fee (or reissue)		143 460	243 230	Design issue fee		144 620	244 310	Plant issue fee		122 130	122 130	Petitions to the Commissioner		123 50	123 50	Processing fee under 37 CFR § 1.17(q)		126 180	126 180	Submission of Information Disclosure Statement		581 40	581 40	Recording each patent assignment per property (times number of properties)		146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))		149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))		179 740	279 370	Request for Continued Examination (RCE)		169 900	169 900	Request for expedited examination of a design application		Other fee (specify)				SUBTOTAL (3)			
Large Entity	Small Entity	Fee Description	Fee Paid																																																																																																																																																																																																										
Code (\$)	Code (\$)																																																																																																																																																																																																												
101 740	201 370	Utility filing fee	740.00																																																																																																																																																																																																										
106 330	206 165	Design filing fee																																																																																																																																																																																																											
107 510	207 255	Plant filing fee																																																																																																																																																																																																											
108 740	208 370	Reissue filing fee																																																																																																																																																																																																											
114 160	214 80	Provisional filing fee																																																																																																																																																																																																											
SUBTOTAL (1)			\$740.00																																																																																																																																																																																																										
Extra Claims	Fee from below	Fee Paid																																																																																																																																																																																																											
Total Claims 8 - 20** = 0	X	0.00																																																																																																																																																																																																											
Independent Claims 1 - 3** = 0	X	0.00																																																																																																																																																																																																											
Multiple Dependent																																																																																																																																																																																																													
Large Entity	Small Entity	Fee Description	Fee Paid																																																																																																																																																																																																										
Code (\$)	Code (\$)																																																																																																																																																																																																												
103 18	203 9	Claims in excess of 20																																																																																																																																																																																																											
102 84	202 42	Independent claims in excess of 3																																																																																																																																																																																																											
104 280	204 140	Multiple dependent claim, if not paid																																																																																																																																																																																																											
109 84	209 42	** Reissue independent claims over original patent																																																																																																																																																																																																											
110 18	210 9	** Reissue claims in excess of 20 and over original patent																																																																																																																																																																																																											
SUBTOTAL (2)			\$0.00																																																																																																																																																																																																										
Large Entity	Small Entity	Fee Description	Fee Paid																																																																																																																																																																																																										
Code (\$)	Code (\$)																																																																																																																																																																																																												
105 130	205 65	Surcharge - late filing fee or oath																																																																																																																																																																																																											
127 50	227 25	Surcharge - late provisional filing fee or cover sheet																																																																																																																																																																																																											
139 130	139 130	Non - English specification																																																																																																																																																																																																											
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination																																																																																																																																																																																																											
112 920*	112 920*	Requesting publication of SIR prior to Examiner action																																																																																																																																																																																																											
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action																																																																																																																																																																																																											
115 110	215 55	Extension for reply within first month																																																																																																																																																																																																											
116 400	216 200	Extension for reply within second month																																																																																																																																																																																																											
117 920	217 460	Extension for reply within third month																																																																																																																																																																																																											
118 1,440	218 720	Extension for reply within fourth month																																																																																																																																																																																																											
128 1,960	228 980	Extension for reply within fifth month																																																																																																																																																																																																											
119 320	219 160	Notice of Appeal																																																																																																																																																																																																											
120 320	220 160	Filing a brief in support of an appeal																																																																																																																																																																																																											
121 280	221 140	Request for oral hearing																																																																																																																																																																																																											
138 1,510	138 1,510	Petition to institute a public use proceeding																																																																																																																																																																																																											
140 110	240 55	Petition to revive - unavoidable																																																																																																																																																																																																											
141 1,280	241 640	Petition to revive - unintentional																																																																																																																																																																																																											
142 1,280	242 640	Utility issue fee (or reissue)																																																																																																																																																																																																											
143 460	243 230	Design issue fee																																																																																																																																																																																																											
144 620	244 310	Plant issue fee																																																																																																																																																																																																											
122 130	122 130	Petitions to the Commissioner																																																																																																																																																																																																											
123 50	123 50	Processing fee under 37 CFR § 1.17(q)																																																																																																																																																																																																											
126 180	126 180	Submission of Information Disclosure Statement																																																																																																																																																																																																											
581 40	581 40	Recording each patent assignment per property (times number of properties)																																																																																																																																																																																																											
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																																																																																																											
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))																																																																																																																																																																																																											
179 740	279 370	Request for Continued Examination (RCE)																																																																																																																																																																																																											
169 900	169 900	Request for expedited examination of a design application																																																																																																																																																																																																											
Other fee (specify)																																																																																																																																																																																																													
SUBTOTAL (3)																																																																																																																																																																																																													

**or number previously paid, if greater; For Reissues, see above

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Michael S. Gzybowski	Registration No. (Attorney/Agent)	32,816
Signature		Telephone	219-424-8000
Date		November 29, 2001	

WARNING: Information on this form may become public. Credit card information should not be included in this form. Provide credit card information and authorization on

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): Naoto Ohashi et al.

Docket No.

SHC0160

Serial No.

Filing Date

Examiner

Group Art Unit

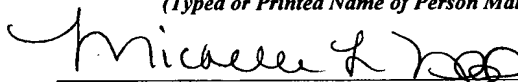
Invention: **DISPOSABLE DIAPER**

I hereby certify that the following correspondence:

UTILITY PATENT APPLICATION*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under

37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

NOVEMBER 29, 2001*(Date)***MICHELLE L. NEAL***(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)***EL731285267US***("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**